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PTO/SB/08a (08-03)

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## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 1

of 3

Application Number	09/944,788
Filing Date	08/31/2001
First Named Inventor	De Jesus Valdes, et al.
Group Art Unit	3621
Examiner Name	Sherr, Cristina O.
Attorney Docket Number	SRI/4190-4
Submission Date	

### U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
	A1	US-5,440,498	08-08-95	Timm	
	A2	US-5,475,365	12-12-95	Hoseit et al.	
	A3	US-5,517,429	05-14-96	Hamison	
	A4	US-5,568,471	10-22-96	Hershey et al.	
	A5	US-5,704,017	12-30-97	Heckerman et al.	
	A6	US-5,737,319	04-07-98	Croslin et al.	
	A7	US-6,092,194	07-18-00	Touboul	
	A8	US-6,263,441	07-17-01	Cromer et al.	
	A9	US-6,279,113	08-21-01	Vaidya, V.	
	A10	US-6,311,274	10-30-01	Day	
	A11	US-6,321,338	11-20-01	Porras et al.	
	A12	US-6,353,385	03-05-02	Molini et al.	
	A13	US-6,370,648	04-09-02	Diep, T	
	A14	US-6,408,391	06-18-02	Huff, et al.	
	A15	US-6,499,107	12-24-02	Gleichauf et al.	
	A16	US-6,502,082	12-31-02	Toyama et al.	
	A17	US-6,701,459	03-02-04	Ramanathan et al.	
	A18	US-6,704,874	03-09-04	Porras et al.	
	A19	US-6,707,795	03-16-04	Noorhosseini et al.	

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### FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known)				
	B1					
	B2					
	B3					
	B4					

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## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet 2

3

Application Number 09/944,788

Filing Date 08/31/2001

First Named Inventor De Jesus Valdes, et al.

Group Art Unit 3621

Examiner Name Sherr, Cristina O.

Attorney Docket Number SRI/4190-4

Submission Date

### NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T <sup>2</sup>
✓	C1	Anderson, D. et al., "Next-generation Intrusion Detection Expert System (NIDES) A Summary," May 1995	
✓	C2	Anderson, et al., "Next-generation Intrusion Detection Expert System (NIDES) Software Users Manual", December 1994	
✓	C3	Cheeseman, et al., "Bayesian Classification (AutoClass): Theory and Results," in Advances in Knowledge Discovery and Data Mining, Usama M. Fayyad, Gregory Piatetsky-Shapiro, Padhraic Smyth, & Ramasamy Uthurusamy, Eds. AAAI Press/MIT Press, 1996, pg 61-83	
✓	C4	Decasper, et al., "Router Plugins A Software Architecture for Next Generation Routers," Proceedings of the ACM SIGCOMM '98 conference on Applications, technologies, architectures, and protocols for computer communication, Vancouver, British Columbia, Canada, Pages: 229 - 240	
✓	C5	DuMouchel, W., "Computer Intrusion Detection Based on Bayes Factors for Comparing Command Transition Probabilities," NISS, Technical Report Number 91, February 1999	
✓	C6	Frank, J., "Artificial Intelligence and Intrusion Detection: Current and Future Directions," Division of Computer Science, University of California at Davis, June 1994	
✓	C7	Hoagland, et al., "Viewing IDS Alerts: Lessons from SnortSnarf," In Proceedings of DISCEX II, June 2001, 374-386	
✓	C8	Lindquist, et al., "Detecting Computer and Network Misuse Through the Production-Based Expert System Toolset (P-BEST)," in Proceedings of the 1999 Symposium on Security and Privacy, Oakland, CA May 9-12, 1999	
✓	C9	Makris, J., "Firewall Services: More Bark Than Bite," Data Communications, 28 (3), March 1999, 36-50	
✓	C10	Neumann, et al., "Experience with EMERALD to Date," Proceedings of the Workshop on Intrusion Detection and Network Monitoring, 73 - 80, 1999	
✓	C11	Petersen, K., "IDA- Intrusion Detection Alert," Proc. of the IEEE Annual International Computer Software and Applications Conference, Chicago, IL, Sept. 1992, 306 - 311	
✓	C12	Rowland, C., "Network Attack Trend Analysis," allegedly dated November 22, 1997, Newsgroups: muc.list.bugtraq	
✓	C13	Ryan, et al., "Intrusion Detection with Neural Networks," Advances in Neural Information Processing Systems 10, Cambridge, MA, MIT Press, 1998	

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*[Signature]*

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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

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Application Number 09/944,788

Filing Date 08/31/2001

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Group Art Unit 3621

Examiner Name Sherr, Cristina O.

Attorney Docket Number SRI/4190-4

Sheet 3

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Submission Date

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✓	C14	Complaint for Declaratory Judgment, Internet Security Systems, Inc., v. SRI International, Inc., US District Court, Northern District of Georgia, Civil Action No. 104 CV 2402, filed August 17, 2004	
✓	C15	Complaint for Patent Infringement; Demand for Jury, SRI International, Inc. v. Internet Security Systems, Inc. et al., US District Court, District of Delaware, Case No. 04-1199, Filed August 26, 2004	
✓	C16	The RealSecure 1.2 Manual web.archive.org/web/19970709202745/www.iss.net/eval/manuals.html, alleged dated 9 July 1997	
✓	C17	"Real-time attack recognition and response: A solution for tightening network security", Internet Security Systems, web.archive.org/web/19970721183811/iss.net/prod/whitepaper.html, allegedly dated July 21, 1997	
✓	C18	Roesch, M., "SNORT- Lightweight Intrusion Detection for Networks," Proceedings of LISA '99: 13th Systems Administration Conference, November 7-12, 1999, Seattle, WA 229-238	
✓	C19	Symantec Corporation's Answer and Counterclaims to SRI International, Inc.'s Complaint, SRI International, Inc. v. Internet Security Systems, Inc. et al., US District Court, District of Delaware, Case No. 04-1199, Filed October 15, 2004	
Not considered	C20		
Not considered	C21		
Not considered	C22		
	C23		
	C24		
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